

05/25/01
JC961 U.S. PTO

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Attorney Docket P2930R1C1

PATENT

CERTIFICATION UNDER 37 CFR 1.10

EL 809,447 035 US: Express Mail Number May 25, 2001: Date of Deposit

I hereby certify that this Non-provisional Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.

Teri Renshaw
Teri Renshaw

JC971 U.S. PTO
09/866034
05/25/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION
Assistant Commissioner of Patents
Washington, D.C. 20231

NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

David Botstein, Belmont, CA
Luc Desnoyers, San Francisco, CA
Napoleone Ferrara, San Francisco, CA
Sherman Fong, Alameda, CA
Wei-Qiang Gao, Foster City, CA
Audrey Goddard, San Francisco, CA
Austin L. Gurney, Belmont, CA
James Pan, Belmont, CA
Margaret Ann Roy, San Francisco, CA
Timothy A. Stewart, San Francisco, CA
Daniel Tumas, Orinda, CA
Colin K. Watanabe, Moraga, CA
William I. Wood, Hillsborough, CA

Title: *SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME*

1. Type of Application

[] This application is for an original, non-provisional application.

[] This is a non-provisional application claiming priority to provisional application no. __, filed __, the entire disclosure of which is hereby incorporated by reference.

[X] This is a [] continuation-in-part [X] continuation [] divisional application claiming priority to application U.S. Provisional and PCT Serial Numbers 60/095,325 filed August 4, 1998; 60/112,851 filed December 16, 1998; 60/113,145 filed December 16, 1998; 60/113,511 filed December 22, 1998; 60/115,558 filed January 12, 1999; 60/115,565 filed

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January 12, 1999; 60/115,733 filed January 12, 1999; 60/119,341 filed February 9, 1999; 60/119,537 filed February 10, 1999; 60/119,965 filed February 12, 1999; 60/162,506 filed October 29, 1999; 60/170,262 filed December 9, 1999; 60/187,202 filed March 3, 2000; PCT/US99/12252 filed June 2, 1999; PCT/US99/28634 filed December 1, 1999; PCT/US99/28551 filed December 2, 1999; PCT/US00/03565 filed February 11, 2000; PCT/US00/04414 filed February 22, 2000; PCT/US00/05841 filed March 2, 2000; PCT/US00/08439 filed March 30, 2000; PCT/US00/14941 filed May 30, 2000; PCT/US00/15264 filed June 2, 2000; PCT/US00/32678 filed December 1, 2000, the entire disclosure of which is hereby incorporated by reference.

2. **Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Non-provisional)**

131 pages of specification
3 pages of claims
1 page(s) of abstract
18 sheet(s) of drawings
☒ formal ☐ informal

3. **Declaration or Oath**

(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)
X An executed declaration of the inventor(s) ☒ is enclosed (UNSIGNED) ☐ will follow.

(for Cont./Div. where inventorship is the same or inventor(s) being deleted)
 ___ A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

(for Cont./Div. where inventor(s) being deleted)
 ___ A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

4. **Assignment**

(for new and CIP applications)
X An Assignment of the invention to GENENTECH, INC. ☐ is enclosed with attached Recordation Form Cover Sheet ☒ will follow.

(for cont./div.)
 ___ The prior application is assigned of record to Genentech, Inc.

5. **Amendments (for continuation and divisional applications)**

___ Cancel in this application original claims __ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

___ A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

T03230"46099860

Relate Back -- 35 U.S.C. 120 or 35 U.S.C. 119

 X Amend the specification by inserting before the first line the sentence:

--This is a

 X continuation of applications

 X International Application Serial Numbers PCT/US99/12252 filed June 2, 1999; PCT/US99/28634 filed December 1, 1999; PCT/US99/28551 filed December 2, 1999; PCT/US00/03565 filed February 11, 2000; PCT/US00/04414 filed February 22, 2000; PCT/US00/05841 filed March 2, 2000; PCT/US00/08439 filed March 30, 2000; PCT/US00/14941 filed May 30, 2000; PCT/US00/15264 filed June 2, 2000; PCT/US00/32678 filed December 1, 2000, which designated the U.S., which applications are incorporated herein by reference and to which applications priority is claimed under 35 USC §120 and

 X provisional application Serial Numbers 60/095,325 filed August 4, 1998; 60/112,851 filed December 16, 1998; 60/113,145 filed December 16, 1998; 60/113,511 filed December 22, 1998; 60/115,558 filed January 12, 1999; 60/115,565 filed January 12, 1999; 60/115,733 filed January 12, 1999; 60/119,341 filed February 9, 1999; 60/119,537 filed February 10, 1999; 60/119,965 filed February 12, 1999; 60/162,506 filed October 29, 1999; 60/170,262 filed December 9, 1999; 60/187,202 filed March 3, 2000, the entire disclosure of which is hereby incorporated by reference and to which applications priority is claimed under 35 USC §119.--.

6. Fee Calculation (37 CFR 1.16)

The fee has been calculated as follows:

| CLAIMS FOR FEE CALCULATION | | | | | |
|-------------------------------------|----|--------------|----|------------|-----------------------------|
| Number Filed | | Number Extra | | Rate | Basic Fee 37 CFR 1.16(a) |
| | | | | | \$710.00 |
| Total Claims | 21 | - 20 = | 1 | X \$18.00 | \$18.00 |
| Independent Claims | 14 | - 3 = | 11 | X \$80.00 | \$880.00 |
| Multiple dependent claim(s), if any | | | | + \$270.00 | \$0.00 |
| Filing Fee Calculation | | | | | \$1,608.00 |

7. Method of Payment of Fees

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$1608.00. **A duplicate copy of this transmittal is enclosed.**

8. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

The PTO did not receive the following
listed item(s) A duplicate copy
of transmittal

07-0630-409950

9. **Additional Papers Enclosed**

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations
☒ Submission of "Sequence Listing", computer readable copy, certificate re: sequence listing, and/or amendment pertaining thereto for biological invention containing nucleotide and/or amino acid sequence.
☐ A new Power of Attorney or authorization of agent.
☒ Other: Post card

10. **Maintenance of Copendency of Prior Application (for continuation and divisional applications)**

*[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

- _____ A petition, fee and/or response has been filed to extend the term in the pending prior application until
_____ A copy of the petition for extension of time in the **prior** application is attached.

11. **Correspondence Address:**

X Address all future communications to:

Attn: Mark T. Kresnak, Ph.D.

Respectfully submitted,
GENENTECH, INC.

By: Mark T. Kresnak

Mark T. Kresnak, Ph.D.
Reg. No. 42,767
Telephone No. (650) 225-4461

Date: May 25, 2001



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PATENT TRADEMARK OFFICE

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|--|
| <p>In re Application of</p> <p>David Botstein, et al.</p> <p>Serial No.: Unknown - application filed herewith</p> <p>Filed: May 25, 2001</p> <p>For: <i>SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME</i></p> | <p>Group Art Unit: Not yet assigned</p> <p>Examiner: Not yet assigned</p> <p>U.S. Express Mail No. EL 809 447 035 US</p> <p>Mailed: May 25, 2001</p> |
|---|--|

CERTIFICATE RE: SEQUENCE LISTING

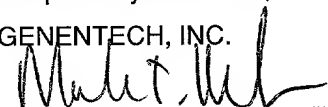
RESPONSE UNDER 37 CFR § 1.821(f) and (g)

BOX: PATENT APPLICATION
Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.

Respectfully submitted,
GENENTECH, INC.

By: 
Mark T. Kresnak, Ph.D.
Reg. No. 42,767
Telephone No. (650) 225-4461

Date: May 25, 2001



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